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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/763,642	01/22/2004	David Howell	2103042-991100

26379
GRAY CARY WARE & FREIDENRICH LLP
2000 UNIVERSITY AVENUE
E. PALO ALTO, CA 94303-2248

CONFIRMATION NO. 2449

FORMALITIES LETTER



OC000000012941929

Date Mailed: 06/14/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/20/2004 HLE333 00000041 10763642

01 FC:2051

65.00 0P

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
 - The drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1)); See Figure(s) 3,8,9,10,13.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$65** for a Small Entity

- **\$65** Late oath or declaration Surcharge.

Items Required To Avoid Processing Delays:

The item(s) indicated below are also required and should be submitted with any reply to this notice to avoid further processing delays.

- A new oath or declaration, identifying this application number is required. The oath or declaration does not comply with 37 CFR 1.63 in that it:
- does not identify the residence (e.g., city and either state or foreign country) of each inventor.
- does not identify the complete mailing or post office address of each inventor.
- does not identify the citizenship of each inventor.

Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

A copy of this notice MUST be returned with the reply.

Huyat

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



Attorney Docket No.: 2103042-991100

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: David Howell

Serial No. 10/763,642

Group Art Unit: 2122

Filed: January 22, 2004

Examiner: Unknown

Title: SYSTEM AND METHOD FOR COLLECTION AND CONVERSION OF
DOCUMENT SETS AND RELATED METADATA TO A PLURALITY OF
DOCUMENT/METADATA SUBSETS

*I hereby certify that this correspondence is being deposited with
the United States Postal Service with sufficient postage as First Class Mail
in an envelope addressed to: Commissioner for Patents & Trademarks,
Mail Stop Missing Parts, P.O. Box 1450, Alexandria, VA 22313-1450 on:*

August 16, 2004
Date

Cathy Pittman
Cathy Pittman

* * *

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In response to the Notice to File Missing Parts dated June 14, 2004, applicant
hereby submits the following:

- (1) Transmittal Form (1 pg.);
- (2) Response to Notice to File Missing Parts (2 pgs.);
- (3) Copy of Notice to File Missing Parts (2 pgs.);
- (4) Declaration (2 pgs.);
- (5) Power of Attorney (1 pg);

EM/7171455.1
2103042-991100

- (6) Statement Under 37 CFR 3.73(b) w/copy of Assignment documents **3** pg);
- (7) Verified Statement Claiming Small Entity Status (2 pgs);
- (8) Submission of Replacement Drawings (1 pg);
- (9) Fourteen (14) sheets replacement drawings;
- (10) Fee Transmittal FY 2004;
- (11) Check No. 564719 for \$65.00;
- (12) Certificate of First Class Mailing (1 pg); and
- (13) Return postcard.

The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 07-1896.

Please telephone the undersigned at (650) 833-2055, if there are any questions.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: August 16, 2004

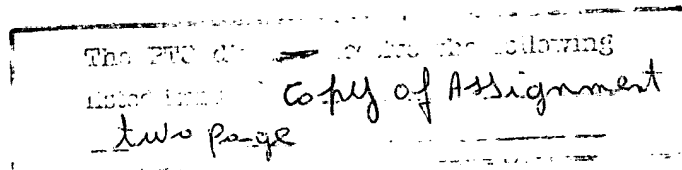
By



Timothy W. Lohse
Attorney for Applicant
Reg. No. 35,255

GRAY CARY WARE & FREIDENRICH LLP

Attn: Patent Department
2000 University Street
East Palo Alto, CA 94303
Telephone: (650) 833-2055
Facsimile: (650) 833-2001





IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: David Howell Filing Date: January 22, 2004
Serial No: 10/763,642 Group Art Unit: 2811
Docket No.: 2103042-991100 Examiner: Unknown
Title: SYSTEM AND METHOD FOR COLLECTION AND CONVERSION OF
DOCUMENT SETS AND RELATED METADATA TO A PLURALITY OF
DOCUMENT/METADATA SUBSETS

COMMISSIONER FOR PATENTS

Mail Stop Missing Parts

P.O. Box 1450

Alexandria, VA 22313-1450

Verified Statement Claiming Small Entity Status

In the name of: SEATTLE BOOK COMPANY
described in

- ☐ the specification filed herewith
☒ application serial no. 10/763,642, filed January 22, 2004;
☐ patent no. _____, issued _____.

Small Business Concern Statement

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern: Seattle Book Company

Address of Concern: 14151 Brownsville Highway NE
Poulsbo, WA 98370

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

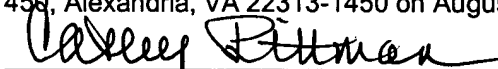
* * *

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

MAIL STOP MISSING PARTS
COMMISSIONER FOR PATENTS
P.O. BOX 1450
Alexandria, VA 22313-1450

Sir:

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail on the date indicated above and is addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 11, 2004.

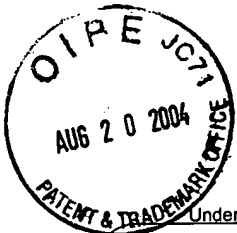

Cathy Pittman

Transmitted herewith for filing are the following documents for:

U.S. Utility Patent Application S/N: 10/763,642
FILED: January 22, 2004
INVENTOR(s): David Howell

Enclosed are:

1. Transmittal Form (1 pg.);
2. Response to Notice to File Missing Parts (2 pgs);
3. Copy of original Notice to File Missing Parts (2 pgs);
4. Declaration (2 pgs);
5. Power of Attorney (1 pg);
6. Statement Under 37 CFR 3.73(b) w/Assignment documents (3 pgs);
7. Verified Small Entity Statement (2 pgs);
8. Transmittal of Replacement Drawings (1 pg);
9. Fourteen (14) sheets replacement drawings;
10. Fee Transmittal FY 2004 (1 pg.);
11. Check No. 564779 for \$65.00;
12. Certificate of First Class Mail; and
13. Return Postcard;



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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/763,642
	Filing Date	January 22, 2004
	First Named Inventor	David Howell
	Art Unit	2122
	Examiner Name	Unknown
Total Number of Pages in This Submission	Attorney Docket Number	2103042-991100

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	Response to Missing Parts (2p);
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	Copy of Missing Parts notice (2p);
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks Submission of Replacement drawings (1pg); Fourteen (14) replacement drawing sheets; Check No. <u>564179</u> for \$65.00; Certificate of Mailing (1 pg); Return postcard.	Declaration(2p); Power of Attorney (1p);
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application		Statement w/copy of Assignment docs(2p); Small Entity Declaration (2p);
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm Or Individual name	Gray Cary Ware & Freidenrich LLP
Signature	<u>Timothy W. Lohse</u>
Date	August 16, 2004

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Mail Stop Missing Parts, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Cathy Pittman		
Signature	<u>Cathy Pittman</u>	Date	August 16, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL

for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

Complete if Known

Application Number	10/763,642
Filing Date	January 22, 2004
First Named Inventor	David Howell
Examiner Name	Unknown
Art Unit	2122
Attorney Docket No.	2103042-991100

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 65.00)

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit Account Number
Deposit Account Name

07-1896

Gray Cary Ware & Freidenrich LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL(1) (\$)					0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	= 0
Multiple Dependent	-3** =	X	= 0

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2) (\$)					0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	65
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770				
		2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$)					65.00

SUBMITTED BY

Name (Print/Type)

Timothy W. Lohse

Registration No.
(Attorney/Agent)

35,255

(Complete if applicable)

Telephone

650-833-2055

Signature

Date

August 16, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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www.USCourtForms.com



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: David Howell

Serial No.: 10/763,642 Group Art Unit: 2122

Filed: January 22, 2004 Examiner: Unknown

Title: SYSTEM AND METHOD FOR COLLECTION AND CONVERSION OF
DOCUMENT SETS AND RELATED METADATA TO A PLURALITY OF
DOCUMENT/METADATA SUBSETS

TRANSMITTAL OF REPLACEMENT DRAWINGS

Commissioner for Patents
Mail Stop No-Fee Amendment
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Transmitted herewith are fourteen (14) sheets of replacement drawings for the
above-identified application.

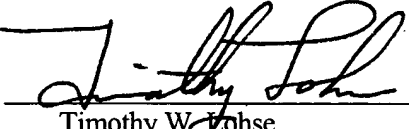
Please address all future communications regarding this application to:

Timothy W. Lohse
GRAY CARY WARE & FREIDENRICH LLP
2000 University Avenue
East Palo Alto, CA 94303

Please direct all telephone calls to Timothy W. Lohse at (650) 833-2055.

Dated: August 16, 2004

GRAY CARY WARE & FREIDENRICH LLP

By 
Timothy W. Lohse
Reg. No. 35,255
Attorney for Applicant

GRAY CARY WARE & FREIDENRICH LLP
ATTN: Patent Department
2000 University Avenue
East Palo Alto, CA 94303
(650) 833-2000